

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/373,272	08/12/99	AUSTIN-PHILLIPS	S 09820.114

0242/0928

INTELLECTUAL PROPERTY DEPARTMENT
DEWITT ROSS & STEVENS SC
FIRSTAR FINANCIAL CENTRE
8000 EXCELSIOR DRIVE SUITE 401
MADISON WI 53717-1914

NOT ASSIGNED

1649

DATE MAILED:

09/28/99

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a
☐ small entity (statement filed) ☒ non-small entity is \$ 130.00.

- ☐ 1. The statutory basic filing fee is:

- ☐ missing.
☐ insufficient.

Applicant must submit \$ _____ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. The following additional claims fees are due:

\$ _____ for _____ total claims over 20.

\$ _____ for _____ independent claims over 3.

\$ _____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

- ☒ is missing or unsigned.
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

10/13/1999 CCEITIN 00000019 09373272 65.00 00
01 FC:205

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appln. Serial No.: 09/373,272

Group Art Unit: 1649

Filing Date: August 12, 1999

Examiner: Unknown

Applicants: AUSTIN-PHILLIPS et al.

Attorney Docket No.: 09820.114

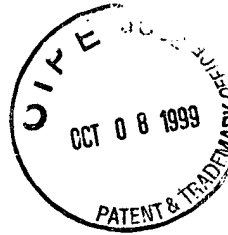
Title: **TRANSGENIC PLANTS AS AN ALTERNATIVE SOURCE OF LIGNOCELLULOSIC-DEGRADING ENZYMES**

REQUEST FOR REFUND AND CHANGE OF SMALL ENTITY STATUS

Attention: Refund Section

Assistant Commissioner for Patents

Washington, D.C. 20231



1. SUBMISSION OF VERIFIED STATEMENT

- A. Attached are two (2) verified statements claiming small entity status in this application.

2. REFUND REQUEST

This request for refund is made within two months of the date on which a fee was paid in this application on August 12, 1999 in the amount of \$868.

3. FEES PAID FOR WHICH REFUND REQUESTED

	AMOUNT OF REFUND REQUESTED
A. Filing fee	\$ <u>434.00</u>
B. Surcharge for filing the basic filing fee on a date later than the filing date of the application (37 CFR 1.16(e))	\$ _____
C. Surcharge for filing the oath or declaration on a date later than the filing date of the Application (37 CFR 1.16(e))	\$ _____
D. Extension of term	\$ _____
E. Issue fee	\$ _____
F. Patent maintenance fee	\$ _____

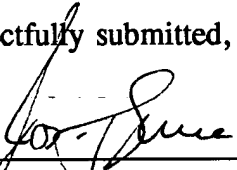
G.	First maintenance fee	\$ _____
H.	Second maintenance fee	\$ _____
I.	Third maintenance fee	\$ _____
J.	Patent maintenance fee surcharge	\$ _____
K.	Other	\$ _____
TOTAL REFUND REQUESTED		\$ <u>434.00</u>

4. MANNER OF REFUND

Please make refund by:

A. crediting Account No. 18-2055

Respectfully submitted,



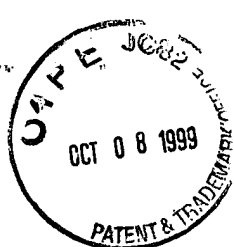
Joseph T. Leone, Reg. No. 37,170
DEWITT ROSS & STEVENS S.C.
Firstar Financial Centre
8000 Excelsior Drive, Suite 401
Madison, Wisconsin 53717-1914
Telephone: (608) 831-2100
Facsimile: (608) 831-2106

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
Assistant Commissioner for Patents,
Washington, D.C. 20231.

Date of Deposit: 10-5-99

Date of Signature: 10-5-99

Signature: Marcia Layton



sector
#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. Serial No.: 09/373,272

Group Art Unit: 1649

Filing Date: August 12, 1999

Examiner: Unknown

Applicants: AUSTIN-PHILLIPS et al.

Attorney Docket No.: 09820.114

Title: **TRANSGENIC PLANTS AS AN ALTERNATIVE SOURCE OF
LIGNOCELLULOSIC-DEGRADING ENZYMES**

**TRANSMITTAL OF MISSING PARTS OF
APPLICATION UNDER 37 C.F.R. § 1.53**

Box: Missing Parts

Assistant Commissioner for Patents

Washington, D.C. 20231

To the Commissioner:


In response to the Notice of Missing Parts which was mailed on September 28, 1999, enclosed are the following documents for filing with the above-referenced U.S. Patent Application:

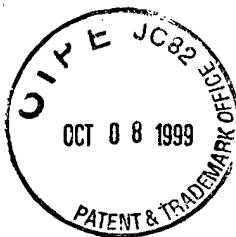
1. A Declaration and Power of Attorney, executed by the applicants on August 26, 1999, September 7, 1999 and September 17, 1999.
2. A Verified Statement Claiming Small Entity Status, executed by the applicants on August 26, 1999, September 7, 1999 and September 17, 1999.
3. A Verified Statement Claiming Small Entity Status, executed by Carl E. Gulbrandsen, Director of Patents and Licensing for Wisconsin Alumni Research Foundation on August 24, 1999.
4. A Request For Refund and Change To Small Entity Status.

A check for \$65 is enclosed to cover the fees associated with this communication. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 18-2055.

Having now complied with all of the requirements of 37 C.F.R. § 1.53, applicant respectfully requests that this application be placed upon the files for examination.

Respectfully submitted,


Joseph T. Leone, Reg. No. 37, 170
DEWITT ROSS & STEVENS S.C.
Firststar Financial Centre
8000 Excelsior Drive, Suite 401
Madison, Wisconsin 53717-1914
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Facsimile: (608) 831-2106



I hereby certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to:

Box: Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Date of Deposit: 10-5-99

Signature: Marcia Layton